

U.S. Department of Energy

Office of Legacy Management



Procedure: 200.1-5

Effective: 2/9/06

SUBJECT: RECORDS DISASTER PREVENTION, MITIGATION, AND RECOVERY

1. PURPOSE. This procedure establishes a requirement for following the methods described in the *Records Disaster Prevention, Mitigation, and Recovery Plan*, which is attached. The plan addresses records disaster prevention, mitigation, and recovery for the U.S. Department of Energy (DOE) Office of Legacy Management (LM), and it primarily establishes prevention and first response to a disaster or emergency situation that may result in damage to or potential loss of LM records.
2. CANCELLATION. None
3. REFERENCES.
 - a. 36 Code of Federal Regulations (CFR) Part 1236, Management of Vital Records
 - b. Executive Order 12656, Assignment of Emergency Preparedness Responsibilities
 - c. National Archives and Records Administration (NARA), Vital Records and Disaster Mitigation and Recovery: An Instructional Guide, 1999 Web Edition
 - d. NARA, A Primer on Disaster Preparedness, Management and Response: Paper-Based Materials, October 1993
 - e. Federal Emergency Management Agency, Emergency Management Guide for Business and Industry
 - f. Records Disaster Prevention, Mitigation, and Recovery Plan

4. DEFINITIONS.

- a. Critical Record -- Any record whose loss or damage would have a critical effect on LM, its mission, projects, and tasks, or that would be very costly to replace. Vital records protecting the legal and financial rights of the Federal Government and individuals affected by Federal Government activities are also considered critical records.
- b. Disaster -- An unexpected occurrence inflicting destruction and having long-term adverse effects on LM operations.
- c. Emergency -- A situation or an occurrence of a serious nature, developing suddenly and unexpectedly, and demanding immediate action. An emergency is generally of short duration; for example, an interruption of normal operations for a week or less. It may involve electrical failure or minor flooding caused by broken pipes.
- d. Records Emergency Response Case File -- Detailed account of actions taken in connection with an emergency or disaster affecting LM records.
- e. Records Emergency Response Team (ERT) -- A location-specific response team composed of one or more Records Emergency Response Coordinators (ERCs), Records Management Points of Contact (POCs), and affected records staff.
- f. Records Emergency Response Coordinator (ERC) -- The Records Liaison Officer (RLO) acts as the records ERC for his or her respective geographic location.
- g. Records Liaison Officer (RLO) -- Representative responsible for taking measures to prevent an emergency or disaster that affects an LM location's records.

5. QUALITY CONTROL.

- a. The *Records Disaster Prevention, Mitigation, and Recovery Plan* (see Attachment A.) includes detailed guidance for LM personnel concerning measures to prevent records-related disasters and mitigate and recover from any disasters that occur. The plan includes listings of emergency response personnel, records recovery vendors, and various forms for personnel to complete during and after a records-related disaster. The Archives and Information Management (AIM) Director designates an LM contact who ensures that the plan is reviewed at least annually and updated as appropriate.
- b. The appropriate RLO coordinates disaster prevention inspections of LM-controlled records storage vaults and areas where large quantities of critical records are stored. The RLO arranges the inspections at least semi-annually as spelled out in the *Records Disaster Prevention, Mitigation, and Recovery Plan*.

- c. Each ERC must maintain a copy of the disaster recovery plan at his or her residence for reference during after-hours emergencies.
- d. The Records ERC creates a Records Emergency Response Case File during any records-related disaster. The Post-Disaster Assessment Report and all other documentation related to the disaster response are included in the case file.

6. RESPONSIBILITIES.

- a. The AIM Director designates an LM contact who ensures that the plan is reviewed at least annually and updated as appropriate.
- b. LM Office Directors are responsible for ensuring that personnel, including the RLO, Records ERCs, Records ERT members, and other office personnel are appropriately informed about and adhere to their roles in the disaster plan.
- c. Each location's Records ERC and members of the location's Records ERT shall be familiar with their role in the *Records Disaster Prevention, Mitigation, and Recovery Plan*.
- d. All LM employees shall be provided with "Emergency Measures for Water-Damaged Records" instructions, which are presented in Section 6.1 of the attached disaster plan.

7. TRAINING REQUIREMENTS. Each designated Records ERC shall attend a disaster preparedness and response course conducted by the local region of NARA.

8. DOCUMENT CONTROL.

- a. The current and official controlled hard copy version of this document shall reside with the LM Directives Manager.
- b. The LM Directives Manager shall place an electronic version of this document on the LM Intranet for employee use.
- c. Printed hard copies of this document shall be considered information-only copies.

9. PROCEDURE.

This procedure establishes that the *Records Disaster Prevention, Mitigation, and Recovery Plan* is implemented when required, and that the plan is properly maintained and updated as needed. Consult the attached plan for information concerning disaster prevention, mitigation, and recovery.

Attachment B. illustrates the processes of maintaining and updating the plan.

- a. The contact designated by the AIM Director:
 - (1) Reviews the current disaster mitigation situation at least annually to identify any new hazards or changing threats to LM's records.
 - (2) Reviews the *Records Disaster Prevention, Mitigation, and Recovery Plan* and ensures that any new hazards or changing threats are properly reflected in the document.
- b. Each LM Office Director ensures that personnel in that office are informed about pertinent information in the plan and about any revisions.

10. ATTACHMENTS.

- a. Attachment A. – *Records Disaster Prevention, Mitigation, and Recovery Plan*
- b. Attachment B. – Records Disaster Plan Maintenance Flowchart

Approved: Original signed by Celinda H. Crawford 2/9/06
Director
Office of Business and Resource Management

Distribution: As required

Attachment A. – Records Disaster Prevention, Mitigation, and Recovery Plan

**U.S. Department of Energy
Office of Legacy Management**



**Records Disaster Prevention,
Mitigation, and Recovery Plan**

January 2006

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Records Disaster Prevention, Mitigation, and Recovery Plan

1.0 Purpose

This plan is designed to assist in records disaster prevention, mitigation, and recovery for each location of the U.S. Department of Energy (DOE) Office of Legacy Management (LM). This plan provides detailed instructions and resource information applicable to each LM location and can serve as a stand-alone document in the event of a disaster or emergency situation resulting in potential damage or loss of LM records.

Emergencies requiring record evacuation, mitigation, or recovery occur when there is actual or potential damage to records or when access to the records is limited or severely obstructed for an extended period of time, causing adverse effects on regular operations. An emergency may affect a small quantity of records or an entire record collection or storage area. It may be isolated to an individual office, or it can affect an entire building or an entire site.

Records emergencies are generally caused by fire; flood, water break, or a release from overhead sprinklers; insect or vermin infestation; abnormally high, low, or prolonged heat and humidity changes in the storage area; hazardous material release or spill; or any other emergency that obstructs access to or use of records. The Glossary in Appendix A. provides a list of terms used in this plan.

2.0 Scope

This plan applies to the Records Emergency Response Coordinator (ERC) and Records Emergency Response Team (ERT) members at each location. The ERC for each location and the ERT contact information is listed in Section 6.1 and Appendix B respectively.

This plan is intended for prevention of and the first response to an emergency situation that may result in damage or potential loss of LM records. LM personnel must not attempt any response activities during an emergency situation (fire, flood, etc.) if responding poses a risk to their safety or health.

When response activities can be safely performed, they generally consist of:

- a. Immediately notifying appropriate individuals to assess the level of threat to the records,
- b. Assessing any damage to the records,
- c. Taking immediate steps to stabilize the condition of the records,

- d. Assembling the ERT and other available personnel,
- e. Recovering the records or the information they contain, and
- f. Resuming normal business.

Although some universal disaster avoidance and response processes are documented in this plan, specific personnel responses will vary depending on the nature of the disaster faced.

3.0 Overview

In many cases, an untrained person can do more harm than good in performing records disaster recovery. Therefore, LM implements a graded approach to records disasters with emphasis on mitigation and the availability of records recovery professionals.

It may be helpful to compare responses to a records emergency and responses to a human medical emergency:

First aid: For medical emergencies, responders are trained in first aid to evaluate the situation, treat minor injuries, and stabilize serious injuries. These medical responders are equivalent to LM's records coordinators and administrative personnel for handling records disasters or emergencies. File clerks and other LM employees should follow the lead of the records coordinators.

EMTs: When the medical emergency is more serious, emergency medical technicians (EMTs) are called to perform a higher level of treatment. They may contact the hospital for additional instructions and prepare the injured for transport. This is equivalent to the role of LM's senior records personnel who have received records disaster mitigation training offered by the National Archives and Records Administration (NARA) or other organizations.

Paramedics: When the medical emergency is life threatening, the paramedic can provide advanced life-saving support. This is equivalent to records disaster recovery professionals being called to the site or to damaged records being transported to a recovery facility.

4.0 Responsibilities

LM Office Directors are responsible for ensuring that staff personnel are appropriately informed about and adhere to the prevention, mitigation, and recovery techniques identified in this plan.

Each location's Records Liaison Officer (RLO) ensures that reasonable mitigation measures are taken to avoid a disaster.

Each location's Records ERC:

- Responds to emergencies or potential emergencies that could affect records and assesses damage or potential damage.
- Activates the Records ERT for the respective location, as necessary, and notifies the LM Manager, Legacy Archives and Information Management, if appropriate.
- Arranges for the relocation of records, if appropriate, in the event of a potential disaster.
- Takes immediate steps to stabilize the condition of records so further damage will not occur, and directs recovery operations to salvage the maximum volume of materials in a manner that will minimize future restoration costs and efforts. The ERC consults with experts and arranges for outside expertise as needed.
- Arranges for equipment, supplies, and space needed for recovery and salvage operations.
- Works with the Emergency Director to facilitate records evacuation activities.

NOTE: In most cases, a location's RLO serves as the ERC during a disaster or emergency. The RLO title is used in this document for sections dealing with disaster prevention. The ERC title is used in sections dealing with disaster mitigation and recovery activities.

Each location's Records ERT:

- Ensures that reasonable measures are taken to prevent a records disaster from occurring.
- Responds quickly, safely, and efficiently to emergencies and disasters that could affect records.
- Identifies and directs the flow of records to be evacuated during an emergency.

Each LM employee:

- Notifies the ERC for his or her location immediately when any event occurs that could have an adverse effect on record material.
- Abides by the mitigation steps identified in this plan.

5.0 Prevention

Prevention includes measures taken to avoid or minimize any loss of valuable records because of a disaster.

See Disaster Prevention, Mitigation, and Recovery Flowcharts in Appendix C.

5.1 Storage Conditions

Each location's RLO monitors the records storage areas to ensure that the temperature, humidity, and air circulation conditions for the storage area remain within targeted levels.

Rapid or extreme changes in temperature and relative humidity can induce an irreversible deterioration process. High temperatures or low relative humidity may cause paper records to become brittle and crack. High humidity may cause paper records to warp and may promote mold and mildew growth. Images on microfilm may become illegible under extreme environmental change.

To minimize the risk of damage to or the destruction of records, the RLO also ensures that LM records are stored according to the following criteria:

- Records are not stored closer than 18 inches to water sprinkler heads.
- Records are not stored in contact with electrical or fire alarm systems or where they obstruct any exit, access panel, air conditioning duct, or fire extinguisher.
- Eating and drinking in storage areas are prohibited.
- Roof leaks, signs of moisture, or signs of insects or vermin are reported immediately to the facility maintenance organization.

5.2 Inspections

Each location's RLO coordinates prevention inspections of LM-controlled records storage vaults and areas where significant quantities of critical records are stored. These inspections are conducted at least semi-annually. The RLO uses LM Form 200.1-3, Records Disaster Prevention Inspection Checklist, as a guide for completing the inspection. (The form is included as Appendix D)

The inspection evaluates the overall storage environment, conditions, and practices. The inspection also includes a random sampling and inspection of the stored documents to check for signs of insects, vermin, and moisture. The RLO ensures that any deficiencies identified during the inspection are addressed.

5.3 Fire Prevention

All LM personnel adhere to the fire prevention policies and procedures specified for each LM location.

5.4 Disaster Readiness

RLOs identify potential disasters, including those unique to their location. Each site establishes prevention or response processes to prepare for those potential disasters.

In cases where LM has sufficient advance notice of a pending disaster (e.g., flood, hurricane), the Records ERC notifies the Emergency Director and members of the Records ERT to prepare for possible records evacuation. If an evacuation is necessary, the ERT gives highest priority to the critical records for that location. The location of these records is included in Appendix E. – Critical Record Locations.

6.0 Mitigation

The major objective of mitigation is to prevent further damage by stabilizing the condition of the materials as much as possible and as soon as possible. A secondary objective is to recover the maximum amount of material from the damaged collections in a manner that will minimize further restoration and associated costs. LM personnel must not attempt any of the measures included in this section if the emergency situation (fire, flood, etc.) poses a risk to their safety or health.

6.1 Discovery and Identification

Disaster discovery and identification are the first steps in the mitigation process. Any person discovering an event or potential event should dial the appropriate emergency number below. The ERC will then be notified. ERCs for each LM location are:

Location	ERC	Site Number	Emergency Numbers
Grand Junction, CO	Jeanie Gueretta	(970) 248-7634	(970) 260-3308
Morgantown, WV	Karen Hatch	(304) 285-1397	11 from onsite, or (304) 285-4123
Pittsburgh, PA			
Washington, DC	Amy Cook	(202) 586-9280	166 from onsite, or (202) 586-6900
Germantown, MD	Amy Cook	(202) 586-9280	166 from onsite, or (301) 903-4642

NOTE: It is *critical* that any person discovering an event or potential event notifies the ERC immediately and makes no attempt to mitigate the damage until the ERC arrives to evaluate the situation. If the ERC is not available, contact other personnel for the location's ERT. (See Appendix B. – Records Emergency Response Teams.)

Once an event has been identified, the ERC evaluates the extent of damage and determines the most appropriate initial course of action. The ERC also notifies the Emergency Director, who offers additional resources as appropriate. Speed is of the utmost importance in the disaster response, but not at the expense of careful planning and knowledgeable direction.

Depending on the result of the investigation, the ERC either personally instructs and assists the organization in performing mitigation and recovery operations or declares a broader emergency and activates additional resources as applicable. In disasters involving water, such as a flood, broken water pipe, or fire-extinguishing measures, the ERC ensures that the Emergency Measures for Water-Damaged Records are followed, as applicable.

The ERC creates a records emergency response case file to retain any information associated with the emergency and related records relocation.

Whenever possible, the ERC also takes photographs and videos during the damage assessment stage to aid in restoring records and information to their pre-disaster order and location. These photos and videos are stored in the records emergency response case file.

Damage from fire or extremely high temperatures is usually irreversible. The information contained on charred materials may sometimes be retrieved through specialized photography. Because of the extremely fragile nature of such materials, only professional conservators should handle them.

Emergency Measures for Water-Damaged Records	
Do	Don't
<ul style="list-style-type: none"> <input type="checkbox"/> Stop any source of water flow. <input type="checkbox"/> Contact offsite vendors specializing in mitigation and recovery. Perform any preliminary measures they dictate. <input type="checkbox"/> Remove any standing water. This may require mobilizing a local water extraction and dehumidification contractor. <input type="checkbox"/> Start dehumidification, which may also require mobilizing a local water extraction and dehumidification contractor. If at all possible, lower the temperature below 70°F and the relative humidity below 60 percent, as mold may appear within 48 hours. To do this: <ul style="list-style-type: none"> • Open all doors and windows to allow as much ventilation as possible. • Circulate air with fans and set up dehumidifiers. • Turn down or shut off heat/air conditioning, and eliminate any sources of moisture. • Remove wet material other than documents. <input type="checkbox"/> Remove dry documents, if possible, without affecting wet documents to reduce their exposure to humidity. Do not remove or touch wet documents. <input type="checkbox"/> Place water-damaged microfilm, film negatives, or magnetic media in clean water in plastic garbage bags in boxes or rinse media in clean water and place in sealed plastic bags while still wet. Do not allow film to dry. Wet film must be transported to a recovery laboratory within 48 hours. 	<ul style="list-style-type: none"> !! Do not attempt to remove materials from the area until an overall plan with a schedule of priorities has been established and all personnel involved are thoroughly briefed on how to handle the damaged records. !! Do not permit anyone to open wet books, to separate single sheets, to remove covers when materials are water soaked, or to disturb wet file boxes, prints, drawings, or photographs. Such handling can result in extensive and often irreparable damage to materials that otherwise might be salvaged. !! Do not pile or stack wet materials on one another, as excessive water weight will cause irreparable damage.

6.2 Evacuation Plans

Site evacuation plans should be in effect through each location's general site emergency response plan. Under the control of the location's Records ERC, the Records ERT should begin evacuation of records starting with the critical records listed in Appendix E. – Critical Record Locations.

Temporary offsite facilities may be needed to store damaged and undamaged records. Relocation of these records also may require vehicles and labor beyond the capacity of LM resources. The Contracting Officer (CO) or an authorized credit card holder may contact an offsite storage, transportation, or labor resources to facilitate records evacuation efforts.

Whenever possible, proprietary records and records affected by the Privacy Act of 1974 should be handled or supervised only by personnel with rights to do so.

6.3 Pre-Disaster Notification and Evacuation

If prior notification of an ensuing disaster is received, the location's ERC, after notifying the location's Emergency Director, may evacuate records to another location at the site or to a predetermined offsite facility.

If offsite evacuation is chosen:

- a. The Records ERC notifies the offsite facility custodian or owner immediately, while working with the CO or authorized credit card purchaser to arrange for necessary transportation.
- b. The Records ERT, assisted by LM personnel:
 - (1) Prioritizes records to be removed on the basis of the records' criticality and the amount of time and resources available for the evacuation effort. In most cases, the critical records are in one or more file cabinets located in previously identified rooms as indicated in Appendix E. – Critical Record Locations. Non-critical material and material from non-designated rooms should be reserved for subsequent removal as time and resources permit.
 - (2) Relocates prioritized records using the following guidance:
 - Relocate four- or five-drawer file cabinets **with contents intact**. This relocation will require heavy-duty handcarts and access to ramps or vehicles with lift gates.
 - Empty lateral cabinets into record storage boxes or transfer cases.

- Empty map cabinets by placing the maps into tubes or wrapping them in plastic wrap for relocation.
 - Empty open shelves into record storage boxes or transfer cases.
 - Relocate existing record storage boxes.
- (3) Labels all cabinets and boxes with information regarding former locations.
 - (4) Inventories and itemizes record files, cabinets, and boxes as they are being relocated as time permits using LM Form 200.1-1, Records Relocation Inventory Checklist. (This form is included as Appendix F.) Otherwise, inventory and itemize them when the relocation is completed. The ERT forwards copies of the completed inventory checklist to the relevant organizations' file clerks and forwards the original to the ERC as part of the records emergency response case file.
- c. The Records ERT:
- (1) Directs loading and dispatching of vehicles from the vulnerable location and unloading and positioning of file cabinets and boxes at the safe location. These activities will be coordinated with the Emergency Director at the safe location.
 - (2) Directs and facilitates the return of evacuated records to their original storage location or designated alternate location when the emergency has passed and, if necessary, when the facility is restored.

7.0 Recovery

In most cases, an outside vendor specializing in records restoration will perform or direct all recovery operations. Because most of the damage to materials takes place in the first few hours after a disaster, the ERC will take immediate action, as specified in this plan, to begin salvage operations until the restoration specialists arrive.

Depending on the quantity and the restoration method used, the damaged material will be treated onsite, moved to a local offsite location for open-air drying, transported by the vendor to a restoration laboratory, or packaged by the Records ERT and shipped to a restoration laboratory. In any of these cases, the vendor will provide specific instructions and, in most cases, the supplies needed to support the identified treatment process. (See Appendix G. – Records Mitigation and Recovery Supplies.)

The ERC will create a Post-Disaster Assessment Report to determine the effectiveness of the disaster recovery process used and to document lessons learned. The ERC uses LM

Form 200.1-2, Post-Disaster Assessment Report (see Appendix H.) as a template for the report. A copy of the report is included in the records emergency response case file.

Appendixes

- a. Appendix A. – Glossary
- b. Appendix B. – Records Emergency Response Teams
- c. Appendix C. – Record Disaster Prevention, Mitigation, and Recovery Flowcharts
- d. Appendix D. – Records Disaster Prevention Inspection Checklist (LM Form 200.1-3)
- e. Appendix E. – Critical Record Locations
- f. Appendix F. – Records Relocation Inventory Checklist (LM Form 200.1-1)
- g. Appendix G. – Records Mitigation and Recovery Supplies
- h. Appendix H. – Post-Disaster Assessment Report (LM Form 200.1-2)

Appendix A. – Glossary

- a. Critical Records – Any records whose loss or damage would have a critical effect on LM, its mission, projects, and tasks or that would be very costly to replace. Vital records protecting the legal and financial rights of the Federal government and individuals affected by Federal government activities are also considered critical records.
- b. Disaster – An unexpected occurrence inflicting destruction and having long-term adverse effects on LM operations.
- c. Emergency – A situation or an occurrence of a serious nature, developing suddenly and unexpectedly, and demanding immediate action. An emergency is generally of short duration: for example, an interruption of normal operations for a week or less. It may involve electrical failure or minor flooding caused by broken pipes.
- d. Emergency Director – Person in charge of an alternate facility used to house records during an emergency or disaster at the primary storage location.
- e. Legal and Financial Rights Records – Records essential to protect the legal and financial rights of the Government and of the individuals directly affected by its activities. Examples include accounts receivable records, Social Security records, payroll records, retirement records, and insurance records. These records were formerly defined as “rights-and-interests” records.
- f. Records Emergency Response Case File – Detailed account of actions taken in connection with an emergency or disaster affecting LM records.
- g. Records Emergency Response Coordinator (ERC) – Role assumed by the Records Liaison Officer (RLO) during a records-related emergency or disaster.
- h. Records Emergency Response Team (ERT) – A location-specific response team composed of one or more Records ERCs, Records Management Points of Contact (POCs), and affected records staff.
- i. Records Liaison Officers (RLOs) – Representative responsible for taking measures to mitigate the impact of an emergency or disaster that affects an LM location’s records.

Appendix B. – Records Emergency Response Teams

The following tables identify the response team for each LM geographical location. Each team is composed of at least one Records Emergency Response Coordinator and affected Archives and Information Management (AIM) staff.

Table B-1. Records Emergency Response Teams
Grand Junction, CO

Grand Junction, CO		
Name and Role	Telephone Numbers	Primary Responsibilities
Jeanie Gueretta Response Coordinator	Work: (970) 248-7634 Home: *	AIM lead
Jeff Tack	Work: (970) 248-7714 Home: *	Contractor lead
Gordon Weaver	Work: (970) 248-6680 Home: *	Assistant contractor lead
Cindy Smith	Work: (970) 248-7601 Home: *	Assistant contractor lead
Dianna Roberts	Work: (970) 248-6450 Home: *	Team member
Janet Gibbons	Work: (970) 248-6174 Home: *	Team member

** Each location's emergency response coordinator maintains a copy of the plan offsite.
The copy includes after-hours contact information for response team members.*

Table B-2. Records Emergency Response Teams
Morgantown, WV/Pittsburgh, PA

Morgantown, WV/Pittsburgh, PA		
Name and Role	Telephone Numbers	Primary Responsibilities
Karen Hatch Response Coordinator	Work: (304) 285-1397 Home: *	AIM lead
Debbie Haddix Response Coordinator	Work: (304) 285-4849 Home: *	Assistant AIM lead
Pam Watson Response Coordinator	Work: (412) 386-5410 Home: *	Assistant AIM lead
Joy Mroz Records Coordinator	Work: (304) 285-4106 Home: *	Records POC

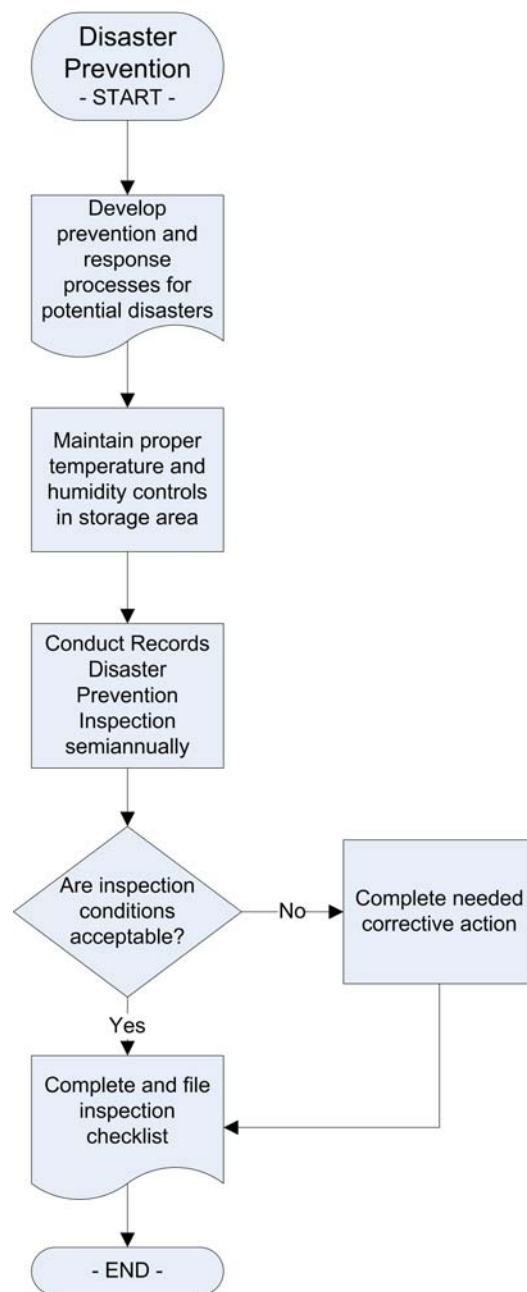
** Each location's emergency response coordinator maintains a copy of the plan offsite.
The copy includes after-hours contact information for response team members.*

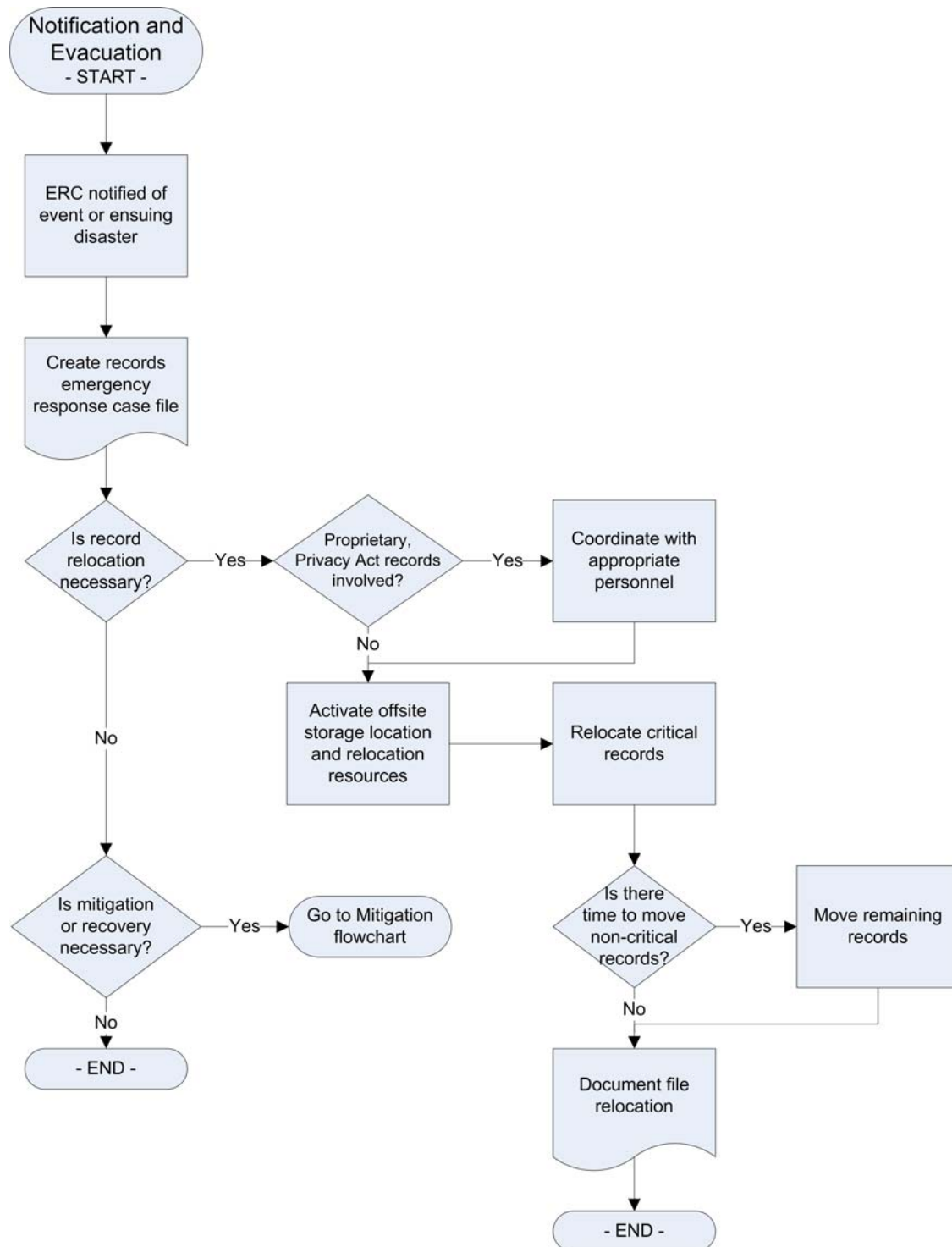
Table B-3. Records Emergency Response Teams
Washington, DC/Germantown, MD

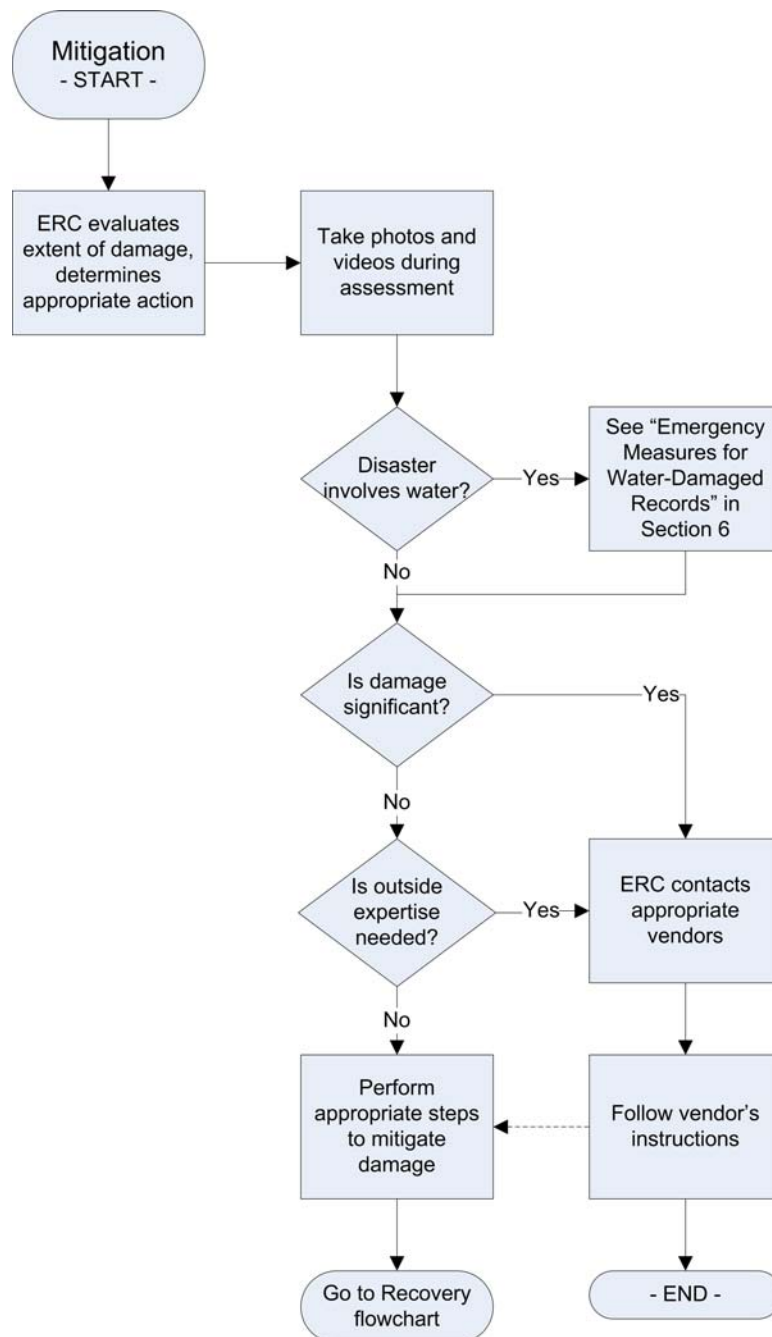
Washington, DC/Germantown, MD		
Name and Role	Telephone Numbers	Primary Responsibilities
Amy Cook Records Coordinator	Work: (202) 586-7550 Home: *	Records POC
Ron King Records Coordinator	Work: (202) 586-9516 Home: *	Team member
Leslie Nelson Records Coordinator	Work: (202) 586-9480 Home: *	Team member

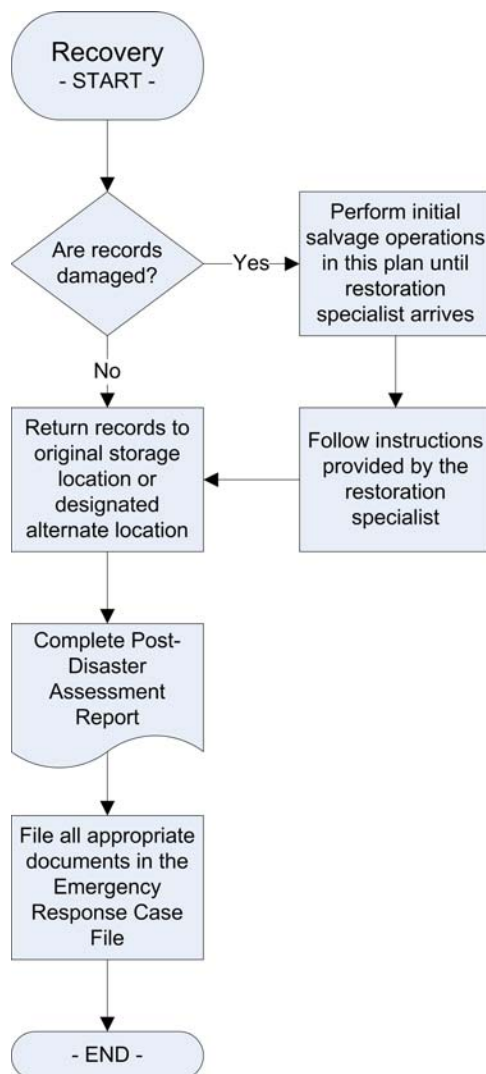
** Each location's emergency response coordinator maintains a copy of the plan offsite.
The copy includes after-hours contact information for response team members.*

Appendix C. – Records Disaster Prevention, Mitigation, and Recovery Process Flowcharts









Appendix D. – Records Disaster Prevention Inspection Checklist

LMF 200.1-3
01/2006, OPI = LM-10
Previous Editions Obsolete

**U.S. Department of Energy
Office of Legacy Management**

Records Disaster Prevention Inspection Checklist

Date of Inspection: _____ Inspector: _____

Inspection area: _____

Date of Inspection: _____ Inspector: _____

Storage Conditions:

Inspector verifies each of the following items to ensure compliance with 36 CFR Part 1228, Subpart K, Facility Standards for Records Storage Facilities

☐ Records are not stored within 6 inches of ceilings or suspended lights

☐ Records are not stored within 18 inches of sprinkler heads

Stored records do not contact or obstruct:

☐ Electrical systems or access panels

☐ Fire alarm systems

☐ Room exits

☐ Air conditioning duct

☐ Fire extinguishers

☐ Temperature standard of 70 (\pm 5) °F is maintained

☐ Humidity standard of 50 (\pm 5) % relative humidity is maintained

☐ Personnel do not eat or drink in storage areas

☐ Personnel do not smoke in storage areas

☐ Roofing in storage areas appears to be free of water leaks

☐ Storage area is free of vermin and insects

☐ Record material is stored in cabinets or on shelving – not directly on floors where it may be susceptible to in-house flooding

☐ No apparent fire hazards

Comments:

Corrective Actions (resolution of items not in compliance):

Signature: _____

Appendix E. – Critical Record Locations

Individual rooms containing critical records are shown by LM location in the following tables. In most cases, the critical records are in one or more file cabinets located in these rooms.

Depending on the amount of time and resources available, priority must be given to removing only the file cabinets or designated critical material from these rooms. Non-critical material and material from non-designated rooms should be reserved for subsequent removal as time and resources permit.

Normally, critical records are stored in four- or five-drawer file cabinets, lateral file cabinets, open shelving, plans cabinets, or record storage boxes.

- Four- or five-drawer file cabinets should be removed with content intact. This will require heavy-duty handcarts and ramps or lift gates on vehicles.
- Empty lateral cabinets into record storage boxes or transfer cases.
- Empty cabinets containing plans and place the plans into tubes or wrap them in plastic wrap for relocation.

Table E-1. Critical Record Locations
Grand Junction, CO

Grand Junction, CO	
Building Number	Rooms
12	Vaults 4 and 5
810	First Floor – 114, 121, 122, 122A, 133, 154 (technical library), 155, 159, 181 Second Floor – 221, 223
938	111, 237/239, 251

Table E-2. Critical Record Locations
Morgantown, WV

Morgantown, WV	
Building Number	Rooms
Research Ridge 4	133

Table E-3. Critical Record Locations
Pittsburgh, PA

Pittsburgh, PA	
Building Number	Rooms
N/A	N/A – There are no critical records at this location

Table E-4. Critical Record Locations
Washington, DC

Washington, DC	
Building Number	Rooms
FORS	6G041 File Room

Table E-5. Critical Record Locations
Germantown, MD

Germantown, MD	
Building Number	Rooms
N/A	N/A – There are no critical records at this location

Appendix F. – Records Relocation Inventory Checklist

LMF 200.1-1
 01/2006, OPI = LM-10
 Previous Editions Obsolete

**U.S. Department of Energy
Office of Legacy Management
Records Relocation Inventory Checklist**

Date of Inventory _____ **Building/Room/Area** _____ **Page** _____ **of** _____

Inventory Team Members: _____

[illegible]

Appendix G. – Records Mitigation and Recovery Supplies

The following table identifies supplies that might be needed in an emergency. A contracted disaster recovery vendor will likely provide most of the needed supplies. These supplies can be purchased at local department, grocery, home improvement, or office supply stores if needed.

Table G-1. Records Mitigation and Recovery Supplies

Aluminum foil	Nylon monofilament
Aprons, plastic	Paper pads, pencils, waterproof pens
Brushes or clothes	Paper towels
Camera with film	Plastic sheeting or plastic wrap
Crates: boxes or plastic	Plexiglas plates with rounded edges: 0.5 inch thick 4 by 5 inches, 5 by 7 inches, and 8 by 10 inches
Dollies	Polyester film sheets greater than 3 millimeters (mm) thickness
Duct tape, heavy duty	Polyethylene bags or plastic sheeting (6 mm)
Extension cords, heavy duty	Polypropylene sheets, lightweight corrugated
Facemasks, protective	Razor knife or cutters
Fans, heavy duty	Scissors
First aid kit	Screen racks
Flashlight with batteries	Sponges, dry chemical
Garbage bags, plastic	Spray nozzle, adjustable
Garbage cans, large plastic	Tool kits: crowbar, hammer, pliers, wrench
Gloves: cotton, disposable, and work varieties	Washtubs, plastic (18 by 24 inches)
Hard hats	Water hoses with connectors
Labels, self-adhesive (3 by 5 inches) and colored self-adhesive dot labels—variety of colors	Waxed or freezer paper
Mops, buckets, brooms, and dustpans	Wet/dry vacuum

Appendix H. – Post-Disaster Assessment Report

LMF 200.1-2
07/2005, OPI = LM-10
Previous Editions Obsolete

U.S. Department of Energy
Office of Legacy Management
Post-Disaster Assessment Report

Date of Report _____ **Page** _____ **of** _____

Facility/Building/Room/Area:

Records Emergency Response Coordinator:

Emergency Response Team Members:

Disaster Description:

Date of Disaster:

Advance Notification: ☐ No ☐ Yes **Comments:**

Records Relocated: ☐ No ☐ Yes **Comments:**

Records Damage: ☐ No ☐ Yes (If Yes, is damage considered ☐ Minimal or ☐ Major)

Describe Mitigation:

Mitigation Performed: ☐ No ☐ Yes

Describe Mitigation Activity:

Restoration Performed: ☐ No ☐ Yes (If Yes, is damage considered ☐ Minimal or ☐ Major)

Describe Mitigation Activity:

Lessons Learned:

Attachment B. – Records Disaster Plan Maintenance Flowchart

